

# **ADMINISTRATIVE RECORDS RETENTION SCHEDULE**

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# ADMINISTRATIVE RECORDS

**SG0001.**

## **ACKNOWLEDGMENT FILES**

Acknowledgment, transmittal of inquiries, and requests that have been referred elsewhere for reply.

**Retention**      *Record copy:* Retain for 1 year after acknowledgment and/or referral and then destroy.

**SG0002.**

## **ADMINISTRATIVE HEARING TRANSCRIPTS**

Transcripts of hearings conducted as part of the regulatory process and hearings on proposed rules and changes; they may be maintained with related information including meeting notices, proofs of publications, meeting minutes, and the conclusions reached. May include audio and video recordings if minutes are not taken.

**Retention**      *Record copy:* **PERMANENT.** Contact State Archivist.

**SG0003.**

## **ADMINISTRATIVE REFERENCE/READING FILES**

Record of all memoranda and correspondence generated by another agency for general reference by all agency employees.

**Retention**      *Record copy:* Retain for 1 year or until administrative need ends, whichever is first, and then destroy.

**SG0004.**

## **ADMINISTRATIVE RULE RECORDS**

Also known as the administrative record. Information an agency relies upon when making a rule including copies of the proposed rule, change in the proposed rule, and the rule analysis; the public comment received and recorded by the agency during the public comment period; the agency's response to the public comment; the agency's analysis of the public comment; and the agency's report of its decision-making process. Also may include records and other information used by agencies to support rule-making decisions. Agencies are required to file the administrative record along with their responsive pleadings with the court when the rule is challenged.

**Retention**      *Record copy:* Retain by Agency for 4 years after effective date and then destroy.

**SG0005.**

## **ADMINISTRATIVE RULEMAKING FILES**

Papers of short-term interest which have no documentary or evidential value. Includes transmittal correspondence, copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply; and quasi-official notices such as for holidays, charity, and fund appeals, bond campaigns, and other similar papers.

**Retention**      *Record copy:* Retain 1 year or until administrative need ends then destroy.

**SG0006. AGENCY WRITTEN HISTORIES**

Scrapbooks, photographs, articles, program notes and documentation of events sponsored or funded by an agency. Also included are narrative audio or audio-visual agency histories. This series documents the efforts of an agency or unit to provide informative sessions, short-courses, workshops, training programs, excursions, and celebratory events for members of the institution and the communities it serves. This series may include but is not limited to: materials on planning and arrangements; reports; promotional and publicity materials; press releases and news clippings; photographs; presentation materials and handouts; schedules of speakers and activities; registration and attendance lists; participant evaluations; and related documentation and correspondence.

**Retention**      *Record copy:* **PERMANENT.** Contact State Archivist.

**SG0007. ATTORNEY GENERAL'S OPINIONS**

Legal interpretations written at the request of an agency asking for guidance in enforcing, obeying, and/or interpretation of the law.

**Retention**      *Record copy:* **PERMANENT.** Contact State Archivist.

**SG0008. COMMITTEE AND ADMINISTRATIVE HEARING RECORDINGS**

Audio and video recordings which document what transpired at committee and board meetings, conferences, and administrative hearings.

*NOTE: If summary minutes of these meetings are not taken, the recordings are permanent and should be transferred to appropriate storage. Contact State Archivist.*

**Retention**      *Record copy:* Retain by agency for 1 year after meeting minutes have been approved and then destroy.

**SG0009. COMMITTEE AND CONFERENCE FILES**

Records created by a committee or conference, including advisory committees, relating to executive establishment, organization, membership, and policy.

Includes agenda, meeting minutes, final reports, and related records documenting the accomplishments of official boards and committees. May include audio and video recordings if minutes are not taken.

**Retention**      *Record copy:* **PERMANENT.** Contact State Archivist.

**SG0010. DAILY ACTIVITY SCHEDULES**

Records regarding State employees who are not executives or exempt status containing substantive information relating to official activities, the substance of which has not been incorporated into official files. Includes calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of employees. Records containing substantive information relating to the official activities of high-level officials which are not incorporated into memoranda, reports, correspondence, or other records included in the official files. Include calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of the employees.

**Retention**      *Record copy:* Retain by agency for 1 year and then destroy.

**SG0014. EXECUTIVE CORRESPONDENCE**

Records not duplicated elsewhere that document how the office is organized and how it functions, its pattern of action, its policies, procedures and achievements. Includes electronic mail that communicates the above.

**Retention**      *Record copy:* **PERMANENT.** Contact State Archivist.

**SG0015. FEASIBILITY STUDIES**

Studies conducted before the installation and implementation of any technology, equipment, process, or procedure. Includes studies and systems analysis for the initial establishment and major changes of these systems.

**Retention**      *Record copy:* **PERMANENT.** Contact State Archivist.

**SG0016. FINDING AIDS**

Indices, lists, catalogues, registers, and other finding aids necessary for the efficient use of other records.

**Retention**      *Record copy:* Until records to which they pertain are destroyed or destroy when no longer needed for reference.

**SG0017. FORMS DEVELOPMENT FILES**

Working papers, background materials, requisitions, specifications, processing data, and control records which provide documentation to the creation and establishment of a form.

**Retention**      *Record copy:* Retain for 1 year after form is discontinued, superseded, or canceled and then destroy.

**SG0018. CORRESPONDENCE (ROUTINE)**

Internal or external correspondence regarding general program information duplicated elsewhere, which does not include policy decisions or directives, how the office is organized, how it functions, its pattern of action, procedures, or achievements. Records that are general in nature and do not relate directly to PRIMARY program responsibilities of an office or agency. Letters of appreciation, congratulations, charity fund, parking assignments. Records of a general nature which would be created in the course of administering agency programs. Information could include office organization, staffing, procedures, and internal communications. Includes electronic mail that communicates the above.

**Retention**      *Record copy:* Retain by Agency for 3 years and then destroy.

**SG0020. INCOMING DOCUMENT LOG**

Records which provide detailed information on incoming documents that require distribution or action.

**Retention**      *Record copy:* Retain by agency for 1 year and then destroy.

**SG0021. INTERNAL ADMINISTRATIVE CORRESPONDENCE**

**Retention**      *Record copy:* Retain by agency for 2 years and then destroy.

**SG0022. INTERNAL COMMITTEE AND CONFERENCE FILES**

Records relating to executive establishment, organization, membership, and committee policy to handle problems or issues within an agency.

**Retention**      *Record copy:* Retain by agency for 2 years after termination of committee and then destroy.

**SG0023. LITIGATION CASE FILES**

Document judicial proceedings, which involve the state agency. Files include some or all of the following documents: affidavits, summons and complaints, responses, orders of dismissals, notice and general appeal, laws and regulations applying to a particular case, legal briefs, transcripts of proceedings, orders, court decisions, and related information.

**Retention**      *Record copy:* **PERMANENT.** Contact State Archivist.

**SG0024. MAILING LISTS**

Lists of individuals, companies, or other entities with which the agency corresponds. Information includes street addresses, electronic mail addresses, and phone and FAX numbers.

**Retention**      *Record copy:* Retain after list is discontinued, superseded, or canceled and then destroy.

**SG0025. MANAGEMENT IMPROVEMENT REPORTS**

Reports on analysis and implementation of programs and operation of those programs.

**Retention**      *Record copy:* Retain by agency for 10 years and then destroy.

**SG0026. ORGANIZATIONAL FILES**

Records detailing an organization, which could include charts and reorganization studies. Also administrative maps that show regional boundaries and headquarters of decentralized agencies or that show the geographic extent or limits of an agency's programs and projects. Formally prepared descriptions of the responsibility assigned to the senior executive officers of an agency at the division level and above.

**Retention**      *Record copy:* **PERMANENT.** Contact State Archivist.

**SG0028. PENDING FILES**

Papers arranged in chronological order as a reminder that action is required on a given date or that a reply to action is expected and, if not received, should be traced on a given date.

**Retention**      *Record copy:* Retain until incorporated into official file when reply is received or action taken, retain in conjunction with that record series.

**SG0029. PERFORMANCE AUDIT REPORTS**

These are reports written and prepared as a result of a performance audit on state agencies. They contain summary documentation on agencies programs, operations and productivity. The reports may be prepared by internal and/or external resources.

**Retention**      *Record copy:* **PERMANENT.** Contact State Archivist.

**SG0030. POLICIES AND PROCEDURES MANUAL**

Policies and procedures that govern the operation and administration of various programs within the organization.

**Retention**      *Record copy:* **PERMANENT.** Contact State Archivist.

**SG0031. POLICY AND PROCEDURE CASE FILES**

Case Files related to policy and procedure issuances which document the development of the issuance. Includes issuances related to routine administrative functions (e.g., payroll, procurement, and personnel).

**Retention**      *Record copy:* Retain by agency for 2 years after superseded and then destroy.

**SG0032. PROPOSED LEGISLATION RECORDS**

Records created by governmental agencies for the purpose of proposing legislation. They contain correspondence, memoranda, research information on proposed legislation, fiscal notes, summaries, estimated cost reports, impact statements, and other information documenting the proposed legislation.

**Retention**      *Record copy:* **PERMANENT.** Contact State Archivist.

**SG0033. PUBLICATIONS**

Documents created by the agency, including pamphlets, reports, leaflets, file manuals, annual reports, other published or processed documents, and the last manuscript report, if not published, relating to management projects. Electronic versions of publications may be considered a duplicate if identical.

**Retention**      *Record copy:* **PERMANENT.** Creating agency shall transfer one copy to State Archives when published.

**SG0034. PUBLIC RECORD REGISTER SHEETS**

Descriptive listings of agency records transferred to the State Archives. Information includes records series number, agency name and address, record series title and inclusive dates, classification information, accession number, agency box number, description of box contents, and date of transfer.

**Retention**      *Record copy:* Retain by agency for reference.

**SG0035. RECORDS DISPOSITION FILES**

Records which document the destruction of a governmental agency's records, such as destruction letters or destruction logs.

**Retention**      *Record copy:* **PERMANENT.** Contact State Archivist.

**SG0036. RECORDS MANAGEMENT FILES**

Records used in creating and establishing records management programs. They may contain records inventories, correspondence, classification designations, records control, equipment, filing procedures/manuals, training information, and other documents created by the State Archives and other agencies to facilitate records management practices. May also contain information on records management equipment and/or computer software.

**Retention**      *Record copy:* **PERMANENT.** Contact State Archivist.



**SG0037. RECORDS TRANSFER SHEETS**

Descriptive listings of agency records transferred to the State Records Center. Information includes record series number, agency name and address, Records Officer's name and signature, Chief Administrative Officer's name, record series title and inclusive dates, CLASSIFICATION information, accession number, agency box number, description of box contents, and records center box location.

**Retention**      *Record copy:* Retain by agency for 5 years after records are destroyed and then destroy.

**SG0038. TECHNICAL REFERENCE FILES**

These are documents retained strictly for reference and informational purposes which are not part of any other official files. They include copies of reports, studies, special compilations of data, drawings, periodicals, books, clippings, extra (non-record) copies of policy and procedure files, brochures, catalogs, vendor price lists, and publications prepared internally and externally.

**Retention**      *Record copy:* Retain by agency 1 year or until administrative need ends and then destroy.

**SG0042. WORKING PAPERS**

Papers which have a short-term use and comprise the background records, such as preliminary studies, drafts, analyzes, notes, interim reports regarding a particular case files, and financial performance audits.

**Retention**      *Record copy:* Retain by agency until administrative need ends, then destroy.

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